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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### MMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Central Division	Division: Central Division	Number: 401
Evaluated by: Sergeant Scott	Date: 06/11/2009	
Assisted by: OSS Cynthia Go	Date: 06/11/2009	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Division Level Command Level S. 6001-☐ Executive Office Level □ Voluntary Self-Inspection Date: Commander's Signature Follow-up Required: Follow-up Inspection ⊠ No ☐ Yes 06/11/2009 For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: □ N/A □ No command level familiar with the related policies and X Yes procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: □ N/A X Yes ☐ No procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: □ N/A ⊠ No Yes Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s. Purchase Requisitions, Remarks: □ N/A ☐ No prepared for commodity items obtainable from ⊠ Yes different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: □ No □ N/A Purchase Requisition? Are the CHP 43, Purchase Requisitions, numbered Remarks: □ N/A □ No consecutively, starting anew at the beginning of each fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: □ N/A □ No forwarded to the Assistant Commissioner, Staff, for 

approval?

#### OMMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAN 3555?	⊠ Yes	□No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	⊠ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's drive before being accepted?	r 🛛 Yes	☐ No	□ N/A	Remarks:

### OMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20	D. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22	. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

Page 1 of 3 Command: Division: Central Number: 420 DEPARTMENT OF CALIFORNIA HIGHWAY PATROL Bakersfield COMMAND INSPECTION PROGRAM Evaluated by: Date: L. Logan, Sgt. 12/8/2008 **INSPECTION CHECKLIST** Assisted by: Date: Chapter 3, Command Procurements 12/8/2008 T. Roberts, Lt. INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: X Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Follow-up Required: Commander' s Signature: Date: Follow-up Inspection X No For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the command level familiar with the related policies and Remarks: X Yes ☐ No □ N/A procedures for purchasing?

X Yes

☐ Yes

X Yes

X Yes

X Yes

X Yes

□ No

X No

□ No

□ No

☐ No

☐ No

Remarks:

Remarks:

Remarks:

Remarks:

Remarks:

Remarks:

□ N/A

N/A

□ N/A

□ N/A

☐ N/A

□ N/A

approval?

STATE OF CALIFORNIA

TYPE OF INSPECTION

] Yes

2. Have Approvers/reviewers of purchases received

Commodities for personal use

Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from

Is all required information entered on the CHP 43,

Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each

Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for

different suppliers or from different statewide

Purchases via the internet

Confirming order

Are prohibited items procured on CHP 43, Purchases

Supplies for personally – owned equipment

procurement training?

commodity contracts?

Purchase Requisition?

fiscal year (July 1)?

Requisitions?

Division Level

Purchases

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	8. Do specialized items purchased contain the		100	-	
	appropriate Division, and/or OPI approvals?	X Yes	□No	□ N/A	Remarks:
	<ol> <li>Are the CHP 43, Purchase Requisitions, competitively bid?</li> </ol>	X Yes	□No	□ N/A	Remarks:
	10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	X Yes	□No	□ N/A	Remarks:
	11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	X Yes	□No	□ N/A	Remarks:
	12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	X Yes	□No	□ N/A	Remarks:
_	13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	X Yes	□No	□ N/A	Remarks:
	14. Are items checked immediately for content and damage when delivered?	X Yes	□No	□ N/A	Remarks:
	15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	X Yes	□ No	□ N/A	Remarks:
	16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	X Yes	□ No	□ N/A	Remarks:
	17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	X Yes	□No	□ N/A	Remarks:
	18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	X Yes	□No	□ N/A	Remarks:
	19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	X N/A	Remarks: Has not occurred recently.
-					

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

			Y-1	_	
	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	X Yes	□ No	□ N/A	Remarks:
	<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	X Yes	□No	□ N/A	Remarks:
	<ol> <li>Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)</li> </ol>	X Yes	☐ No	□ N/A	Remarks:
2	<ol> <li>Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)</li> </ol>	X Yes	□No	□ N/A	Remarks:
2	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	X No	□ N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

		1 auc	1013
Command:	Division:	Number:	
Grapevine I. F.	Central		
Evaluated by:		Date:	
Lt. S. A. Netzer		11/02/2008	
Assisted by:		Date:	
N/A			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Insp	ector's Signat	ure;		
	ivision Level	☑ Command Level	92	ector's Signat	for		
□ E	kecutive Office Level	Voluntary Self-Inspection					
	llow-up Required:		Command	er's Signature	1	Nessi	Date:
	Yes 🛭 No	Follow-up Inspection	90	er's Signature	12-	47	11/02/08
For a	pplicable policy, refer to:	HPM 11.2, Chapter 7					
1.	Are participants in the proc command level familiar wi procedures for purchasing	th the related policies and	⊠ Yes	□ No	□ N/A	Remarks:	
2.	Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□No	□ N/A	Remarks:	
3.	Are prohibited items procu Requisitions?	red on CHP 43, Purchases	Yes	⊠ No	□ N/A	Remarks:	
	<ul> <li>Supplies for person</li> <li>Commodities for person</li> <li>Confirming order</li> <li>Purchases via the</li> </ul>						
4.	Are separate CHP 43s, Pu prepared for commodity ite different suppliers or from commodity contracts?	ms obtainable from	⊠ Yes	□ No	□ N/A	Remarks:	
5.	Is all required information e Purchase Requisition?	2)	⊠ Yes	□No	□ N/A	Remarks:	
6.	Are the CHP 43, Purchase consecutively, starting anew fiscal year (July 1)?	v at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:	
7.	Are expedited requests for forwarded to the Assistant (approval?	the purchase of goods Commissioner, Staff, for	⊠ Yes	□ No	□ N/A	Remarks:	
8.	Do specialized items purcha appropriate Division, and/or		⊠ Yes	□No	□ N/A	Remarks:	1 4

#### **COMMAND INSPECTION PROGRAM**

INSPECTION CHECKLIST

9. Are the CHP 43, Purchase Requisitions, competitively bid?  Output  Description:	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:
20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43	⊠ Yes	□ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

is no longer needed and a purchase order has not yet been prepared?				
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command: Sonora	Central Division	Chapter: <b>3  4 4</b>
Inspected by: Jeanie Keaster		Date: 12/20/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included		
☐ Division Level ☒ Comma	☐ Appeal Included			
☐ Executive Office Level		Attachments Included		
Follow-up Required:	Forward to: Central Division	Commander's Signature:	Date:	
☐ Yes   ☑ No	Due Date: 12/31/2008	M. W. Juple	12/22/08	
Chapter Inspection:			<b>第19</b> 00年代的	
Inspector's Comments Re	egarding Innovative Practic	es:		
mopeoter o commento (	ogaranig innovativo i raotic		H# 100-123	
Command Suggestions for	or Statewide Improvement:	3/1-3/1-3/2-3/2-3/2-3/2-3/2-3/2-3/2-3/2-3/2-3/2	35-18-11-	
	Thousand the same of the same			
Inspector's Findings:	The state of the s	15.79		

Area had a formal inspection conducted in November 2008, by Lieutenant Adams, and OSSI Carrie Smith, which covered many of the items in Chapters 3 and 4. Additionally, Area does have the pleasure of team work between clerical and special duty which keeps these operations running smoothly.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
Sonora	Central	3 \$ 4
Inspected by:		Date:
Jeanie	Kenster	12/20/2008

Commander's Response:	
Inspector's Comments:	
	У.
Required Action	
Corrective Action Plan Timeline	
Corrective Action Plan/Timeline	

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
Sonora	Central	3 4 4
Inspected by:		Date:
Jeanie	Keaster	12/20/2008

rage 3	12 20 20 10 1 1 2 20 20 10 0 0 0 0 0 0 0
Appeal Process: (Appeals shall be filed within five (5)	business days of the completed chapter inspection).
Commander's Basis for Appeal:	Re
Commander o Basis for Appear.	
Appeal Review/Decision: (This shall be the only level	el of appeal).
	Pi -
ead Inspector's Signature:	Date:
All MCL Della Lilla Signature (for appeal):	12-22-08 Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division	Number:		
Sonora	Central Division:	002		
Evaluated by:	Date:			
Jeanie Keast	er	12/20/2008		
Assisted by:		Date:		
J. Jacobs, Sgt.		12/20/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspe	ctor's Signatu	re:		
☐ Division Level	☑ Command Level					
☐ Executive Office Level	] Voluntary Self-Inspection	Quan	ie X	uster		
Follow-up Required:  Yes No	☐ Follow-up Inspection	gommande	er's Signature:	et.	6	Date: 12/19/08
For applicable policy, refer to:	HPM 11.2, Chapter 7					
Are participants in the pro command level familiar wi procedures for purchasing	th the related policies and	Yes	□No	□ N/A	Remarks:	
Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□ No	□ N/A	Remarks:	777
3. Are prohibited items procu Requisitions?	red on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:	
<ul> <li>Supplies for person</li> <li>Commodities for person</li> <li>Confirming order</li> <li>Purchases via the</li> </ul>						
4. Are separate CHP 43s, Puprepared for commodity its different suppliers or from commodity contracts?	ems obtainable from different statewide	⊠ Yes	□ No	□ N/A	Remarks:	
5. Is all required information Purchase Requisition?	entered on the CHP 43,	⊠ Yes	☐ No	□ N/A	Remarks:	-
fiscal year (July 1)?	w at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:	
7. Are expedited requests for forwarded to the Assistant approval?		☐ Yes	□No	⊠ N/A	Remarks:	

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### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
<sub>3</sub> 17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□ No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:
	1*			1	

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	<b>⊠</b> Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

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DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: BUTTONWILLOW (426)	Division: CENTRAL	Number:
Evaluated by: MARIA PAGANO, OFFICER		Date: 11-19-08
Assisted by: LORI BERGER	OFFICER	Date: 11-19-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Ins	pector's Signa	iture:		
☐ Division Level	Command Level		$/\!/\!/$		~	
Executive Office Level	Voluntary Self-Inspection		Um	70		=
Follow-up Required:	☐ Follow-up Inspection	Comman	der's Signatur ILL	re: 1 Cer	2t	Date: 11.26.08
For applicable policy, refer to: H	IPM 11.2, Chapter 7			/		
<ol> <li>Are participants in the procu command level familiar with procedures for purchasing?</li> </ol>	the related policies and	⊠ Yes	□No	□ N/A	Remarks:	
2. Have Approvers/reviewers of procurement training?	of purchases received	⊠ Yes	□No	□ N/A	Remarks:	
3. Are prohibited items procure Requisitions?	ed on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:	
<ul> <li>Supplies for personal</li> <li>Commodities for personal</li> <li>Confirming order</li> <li>Purchases via the in</li> </ul>						
4. Are separate CHP 43s, Purc prepared for commodity item different suppliers or from dif commodity contracts?	s obtainable from	⊠ Yes	□ No	□ N/A	Remarks:	
5. Is all required information ento Purchase Requisition?	tered on the CHP 43,	⊠ Yes	□No	□ N/A	Remarks:	
6. Are the CHP 43, Purchase R consecutively, starting anew fiscal year (July 1)?	at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:	
<ol><li>Are expedited requests for the forwarded to the Assistant Coapproval?</li></ol>	e purchase of goods ommissioner, Staff, for	⊠ Yes	□No	□ N/A	Remarks:	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?		□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

·	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Y,es	ΠNο	□ N/A	Remarks:
	21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	☐ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: Fort Tejon	Division: Central	Number: 430
Evaluated by: C. Whitty, 122	228	Date: 11/12/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answer applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up anspection, the "Follow-up Inspection" box shall be marked and only	II be comme tions Docun and/or corre	ented on via nent and add ctive action(s	the "Remar Iressed to t s) taken. If	ks" section. Additionally, such the next level of command. this form is used as a Follow-up
I. The state of th				
TYPE OF INSPECTION	Lead Insp	ector's Signat	ure:	3
☐ Division Level ☐ Command Level	I	,	10	
☐ Executive Office Level ☐ Voluntary Self-Inspection	CF	/ inte	De	
Follow-up Required:  Yes No Follow-up Inspection	Command	ler's Signature		Date: 11-13-08
For applicable policy, refer to: HPM 11.2, Chapter 7				
1. Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	□ No	□ N/A	Remarks:
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	☐ Yes	⊠ No	□ N/A	Remarks:
<ol><li>Is all required information entered on the CHP 43, Purchase Requisition?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠Yes	□No	□ N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□ No	⊠ N/A	Remarks: The Area hasn't had any in recent memory.

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

The second secon				
8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks: If multiple suppliers are available.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠Yes	□ No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	⊠ N/A	Remarks: The Area would if the case arises.
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
	<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	□ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command Suggestions for Statewide Improvement:

Command: Fort Tejon	Division: Central	Chapter: Three
Inspected by:		Date:
C. Whitty, 12228		11/12/2008

shall be routed to and its due date. T	his document shall be utilized to	orward to:" enter the next level of command when document innovative practices, suggestions for some used to appeal findings. A CHP 51 Memoran	tatewide
TYPE OF INSPECTION  Division Level Command  Executive Office Level	Level	<ul><li>☐ Corrective Action Plan Included</li><li>☐ Appeal Included</li><li>☐ Attachments Included</li></ul>	
Follow-up Required: ☐ Yes  ☑ No	Forward to:  Due Date:	Commander's Signature:	Date: //-13-88
Chapter Inspection: Chapter Inspector's Comments Rega			

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter

#### Inspector's Findings:

The vast majority of orders, purchases, and services are provided through state contracts. All purchases are for necessary items and used for state business. Due to the remote location of the Fort Tejon Area office, there are a limited number of suppliers and service providers in the area; however, the Commander does his best to control cost.

#### **COMMAND INSPECTION PROGRAM**

EXCEP	TIONS	DOCL	JMEN <sup>*</sup>
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Command: Fort Tejon	Division: Central	Chapter: Three	
Inspected by:		Date:	7
C. Whitty, 122	.28	11/12/2008	

Page 2

Commander's Response:		
	(4)	
Inspector's Comments:	110000000000000000000000000000000000000	

Corrective Action Plan/Timeline

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

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Command: Division: Chapter: Three

Inspected by: Date: C. Whitty, 12228 11/12/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).	. 3
Commander's Basis for Appeal:	N.
Commander's Basis for Appeal:	 _

Appeal Review/Decision: (This shall be the only level of appeal).

Lead Inspector's Signature:

Date: /1/12/2008

CHP 680A (Rev 09-08) OP1010-

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:	1
Hanford Area   Central Division			
Evaluated by:	Date:	ĺ	
Doug Puder, ID 10045		10/27/2008	
Assisted by:		Date:	1
Cynthia Gonzales, ID A05589		10/27/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Follow-up Required: Commander's Signature ☑ Yes Follow-up Inspection For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: OSS I Cynthia Gonzales, Sergeant Frank Smith, Officer command level familiar with the related policies and X Yes ☐ No N/A Maurice Teliha, and Lieutenant Doug procedures for purchasing? Puder have all received procurement training from the Department. 2. Have Approvers/reviewers of purchases received Remarks: See above. procurement training? X Yes ☐ No □ N/A Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? IX No ☐ Yes □ N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: Attempts are made to use prepared for commodity items obtainable from different suppliers. X Yes ☐ No N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: Purchase Requisition? Yes Ø No  $\square$  N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each Yes □ N/A No fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: All CHP 43 forms are routed through Central Division. If forwarded to the Assistant Commissioner, Staff, for No No ☐ Yes N/A required, CHP 43 forms can then be approval? forwarded to other commands for additional levels of approval.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?		□No	□ N/A	Remarks: Purchases on a CHP 43 form cannot be approved at the Area level. They must be approved at least at the Division level.
Are the CHP 43, Purchase Requisitions, competitively bid?	☐ Yes	Ø No	□ N/A	Remarks: Competitive bidding has not been consistently documented CHP 315 forms have rarely been used.
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?		□No	□ N/A	Remarks: Although CHP 315 forms have rarely been submitted, when they were submitted, at least two price quotations were obtained.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	Į <b>⊠</b> No	□ N/A	Remarks: Purchase requisitions were found which improperly listed a specific brand and model number. (See #440PR6011 and #440PR6020)
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□No	Ø N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	☐ No	Ø N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	☑ Yes	☐ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	Ø Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	₩ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	[☑ Yes	☐ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	Ø Yes	☐ No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐Yes	□ No	⊠ N/A	Remarks: We have not experienced any damaged items that were delivered by common carrier. He have seen minor damage to items delivered by the truck from Supply Services Section.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	Ø N/A	Remarks:
	21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks: Posted on the bulletin board in the OSS I's office.
4	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	Yes	□ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks: Copies of all attachments are kept with the purchase requisitions for each item.
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	Дио	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:		
Hanford Area   Central Division		3 - Purchases		
Inspected by:	Date:			
Doug Puder, ID	10/27/2008			

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

improvement, id additional space	lentified deficiencies,	corrective action plans, and may	b document innovative practices, suggestions to be used to appeal findings. A CHP 51 Memor	andum may be used if			
TYPE OF INSPECTION  Division Level Command Level  Executive Office Level			Corrective Action Plan Included  Appeal Included  Attachments Included				
Follow-up Required:  Forward to:  CENTRAL DIVISION  Due Date:  (1)		Commander's Signature:  Our Full, LT.	Date: 10/27/2008				
Chapter Insp Inspector's C None identifie	omments Rega	rding Innovative Practice	es:				
Command Su	ggestions for S	tatewide Improvement:					
instructions fo	nsure a uniform	n review of this subject h is form allow for respons	instructions for completing these for as been conducted. As currently we ses which are far too subjective to p	ritten, the			
specific, comp which docume should be look appropriate. T "stand alone" of Department po Inspector shou	rehensive and ents or processe ting for, and the he instructions documents. Replicy, etc., ) may	easy for the Inspector to es need to be examined, y should provide solid e should be written in suff ferences to other publicate be provided to answer to be required to references	be sufficiently expanded so as to mounderstand. The instructions show they should list specifically what the xamples of what is appropriate and ficient detail so as to make the inspations (i.e., SAM manual, Governmonth obscure questions that may arise, these types of sources on a routing the sufficient details.	uld list exactly ne Inspector I what isn't rection forms rent Code, However, an			
nspector's Find	dings:						

See Attachment.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter:		
Hanford Area	Central Division	3 - Purchases		
Inspected by:	Date:			
Doug Puder, ID	10/27/2008			

Commander's	Response:

Concur with Inspector's findings.

Inspector's Comments:

N/A

#### Required Action

Corrective Action Plan/Timeline

OSS I Cynthia Gonzales, ID A05589, Officer Maurice Teliha, ID 15975, Sergeant Frank Smith, ID 10376, and Lieutenant Doug Puder, ID 10045, have all received mandatory training in the Department's procurement process, including the completion of purchase requisitions. This training provided these employees with the knowledge they need to ensure all of our purchase requisitions are now completed in accordance with state law and Department policy.

Effective immediately, Ms. Gonzales will be responsible for processing all purchase requisitions submitted by the Hanford Area. If another employee prepares a CHP 43, it will be forwarded to Ms. Gonzales. She will then ensure the purchase requisition contains all required information. Ms. Gonzales can use other Area employees to obtain bids, complete CHP 315 forms, etc. However, Ms. Gonzales will ultimately approve all of these forms before they are forwarded to the Area Commander for final Area approval. Officer Teliha will serve as Ms. Gonzales' back-up for processing purchase requisitions. Sergeant Smith will serve as Lieutenant Puder's back-up for final Area approval of purchase requisitions.

The aforementioned review and approval process will begin immediately and will be utilized to process all purchase requisitions submitted by the Hanford Area as of today's date (10/27/2008).

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Division: Chapter:
Hanford Area Central Division 3 - Purchases
Inspected by: Date:
Doug Puder, ID 10045 10/27/2008

Anneal Process: (Amanda tarta and and and	
Appeal Process: (Appeals shall be filed within five (5) Commander's Basis for Appeal:	business days of the completed chapter inspection).
N/A	ű
	.00
A and I David and David an	
Appeal Review/Decision: (This shall be the only level	of appeal).
	*
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ead Inspector's Signature:  White factors is a signature of the signature	Date: 10/27/2008
esponding Commander's Signature (for appeal):	Date:

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

#### Inspector's Findings:

Hanford Area purchase requisitions for 2007 and 2008 were reviewed. The following discrepancies were noted during the review:

- Failure to include Contract Item Number (when applicable).
- Failure to include Object Code
- Failure to indicate appropriate Funding Source
- Minimal number of bids obtained from Certified Small Businesses and Certified Disabled Veteran owned business
- Failure to include bids from multiple sources
- Failure to utilize the CHP 315 form to document bids as required
- Listed a specific brand and model number on the CHP 43 (Requisitions #440PR6011 and #440PR6020) and did not provide a complete written justification explaining whfor the purchase of a specific

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Madera	Central	450
Evaluated by:	Date:	
Lieutenant D.	12/22/2008	
Assisted by:	Date:	

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: □ Command Level ☐ Division Level ☐ Executive Office Level □ Voluntary Self-Inspection Commander's Signature: Follow-up Required: Follow-up Inspection ⊠ No ☐ Yes 12/22/08 For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: X Yes □ N/A command level familiar with the related policies and □ No procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: ⊠ Yes □ N/A □ No procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes ⊠ No  $\square$  N/A Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: ☐ Yes ⊠ No ☐ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ⊠ Yes ☐ No □ N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each ⊠ Yes □ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: First forwarded to Division. forwarded to the Assistant Commissioner, Staff, for ⊠ Yes ☐ No ☐ N/A approval?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	 ⊠ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□ No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20	D. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□No	⊠ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	☐ Yes	□ No	⊠ N/A	Remarks:
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Mariposa	Division: Central	Number: 455-08-002
Evaluated by: Sgt. Edward (	Date: 12/24/2008	
Assisted by: OSS-1 Carrie	Date: 12/24/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level Command Level Executive Office Level □ Voluntary Self-Inspection Follow-up Required: Commanden's Sign Follow-up Inspection Yes ⊠ No 12.29-08 For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: command level familiar with the related policies and X Yes □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received procurement training? Remarks: ✓ Yes ☐ No □ N/A 3. Are prohibited items procured on CHP 43. Purchases Remarks: Requisitions? ☐ Yes ⊠ No □ N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes ☐ No ☐ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43. Remarks: Purchase Requisition? Yes ☐ No □ N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each X Yes ☐ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: forwarded to the Assistant Commissioner, Staff, for ⊠ Yes ΠNo □ N/A approval?

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

				,
Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks: If knew about the damage at the time of delivery.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 19329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Merced (460)	Division: Central (401)	Number:			
Evaluated by: Rafaela Gonza	Date: 12/17/2008				
Assisted by: G. Lamerson		Date: 12/17/2008			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature				
☐ Division Level ☐ Command Level					11			
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	S.A.	Crosel	1,ci	7.		
	llow-up Required: ] Yes     No	☐ Follow-up Inspection	Commandi	Signature	<u> </u>		Date: 12/19/08	
For ap	oplicable policy, refer to	o: HPM 11.2, Chapter 7						
	command level familiar procedures for purchas		⊠ Yes	□ No	□ N/A	Remarks:		
2.	2. Have Approvers/reviewers of purchases received procurement training?			⊠ No	□ N/A	Remarks: Coming up		
3.	Are prohibited items pro Requisitions?	ocured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		
	<ul><li>Supplies for pe</li><li>Commodities fo</li><li>Confirming orde</li><li>Purchases via fo</li></ul>	er e						
	Are separate CHP 43s, prepared for commodity different suppliers or frocommodity contracts?	r items obtainable from om different statewide	⊠ Yes	□ No	□ N/A	Remarks:		
5.	Is all required information?	on entered on the CHP 43,	⊠ Yes	□ No	□ N/A	Remarks		
	consecutively, starting a fiscal year (July 1)?	ase Requisitions, numbered anew at the beginning of each	⊠ Yes	□ No	□ N/A	Remarks:		
7.		for the purchase of goods ant Commissioner, Staff, for	⊠ Yes	□No	□ N/A	Remarks: Th	rough proper channels	

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STATE OF CALIFORNIA
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?		□ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□ No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: Not at Area level
12	. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks: Not at Area level
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks: Not at Area level
14	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
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## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: Los Banos	Division: Central	Number:		
Evaluated by: W. B. Nation,	Date: 12/15/2008			
Assisted by: W. B. Nation, #11632		Date: 12/15/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.								
TYPE OF INSPECTION		Lead Insp	ector's Signat	ure:				
☐ Division Level ☐ Command Level		,						
Executive Office Level Voluntary Self-Inspe	action							
	700011	Command	er's Signature			Date:		
Follow-up Required:  Yes No	tion	Communa	or o orginature			12/15/2008		
For applicable policy, refer to: HPM 11.2, Chapter	7							
1. Are participants in the procurement process at the command level familiar with the related policies a procedures for purchasing?		⊠ Yes	□ No	□ N/A	Remarks:			
Have Approvers/reviewers of purchases received procurement training?			□ No	□ N/A	Remarks:			
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>			□No	□ N/A	Remarks:			
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>								
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?		⊠ Yes	□ No	□ N/A	Remarks:			
5. Is all required information entered on the CHP 43 Purchase Requisition?		⊠ Yes	□No	□ N/A	Remarks:			
<ol><li>Are the CHP 43, Purchase Requisitions, numbers consecutively, starting anew at the beginning of e fiscal year (July 1)?</li></ol>	ed each	⊠ Yes	□No	□ N/A	Remarks:			
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, f approval?		⊠ Yes	□No	□ N/A		Forwarded after from Division.		

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
Does the CHP 315, Price Comparison Worksheet,     document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□ No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks: As requested.
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
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### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: CRIF	Division: Central	Number: 9464
Evaluated by: Sgt. E. Cruz #103	03	Date: 12/17/2008
Assisted by: Office Carol Garrett #A7	Date: 12/17/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspe	ector's Signatu	ıre:		
☐ Div	vision Level	☑ Command Level					
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection	Sgt. E.				
F	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Commande	er's Signature	12		Date: 12/29/20
For a	oplicable policy, refer to	o: HPM 11.2, Chapter 7			//		
1.		procurement process at the with the related policies and ing?	⊠ Yes	□ No	□ N/A	Remarks:	
2.	Have Approvers/review procurement training?	ers of purchases received	⊠ Yes	□No	□ N/A	Sqt. Wymore	24/08 Lt. Harjo, 9/16/08 e, Officer Howard, Office t has received training.
3.	Are prohibited items pro Requisitions?	ocured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:	
	<ul><li>Supplies for per</li><li>Commodities for confirming order</li><li>Purchases via total</li></ul>	er					
4.	Are separate CHP 43s, prepared for commodity different suppliers or fro commodity contracts?	items obtainable from	⊠ Yes	□ No	□ N/A	Remarks:	
5.	Is all required information?	n entered on the CHP 43,	⊠ Yes	□No	□ N/A	Remarks:	
6.		se Requisitions, numbered new at the beginning of each	⊠ Yes	□ No	□ N/A	Remarks:	
7.		for the purchase of goods nt Commissioner, Staff, for	☐ Yes	□No	⊠ 1N/A	Remarks: No made during	expedited request were this period.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Purchase Requisition # 464PR7001 (Fax machine) a CHP 315 was not completed.
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	☐ No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks:
				I	

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STATE OF CALIFORNIA
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### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks: There were no cancellations during this period.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	☐ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command Suggestions for Statewide Improvement:

Command:					
Chowchilla					
River IF					

Division: Central Chapter: #3 Command Procurements Purchases

Inspected by: Sgt. E. Cruz, #10303

Date: 12/22/08

number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.									
TYPE OF INSPECTION X Corrective Action Plan Included									
☐ Division Level X Command Le	evel	Appeal Included							
☐ Executive Office Level		Attachments Included							
Follow-up Required:	Forward to:	Commander's Signature:	Date:						
☐ Yes X No	Due Date:	C-11/1/2	12/22/08						
Chapter Inspection:	A. 198 F. 291 J. M. M. J. 784								
Inspector's Comments Regar	Inspector's Comments Regarding Innovative Practices:								
None.									

Inspector's Findings:

None.

10. During the inspection, it was found that a CHP 315 was not completed for the purchase a fax machine.

Commander's Response:

10. Although a CHP 315 was not completed for the purchase of the fax machine, the multiple bid process did take place. Individual bids were faxed with the purchase request.

Inspector's Comments:

I am satisfied this was a single issue. There is nothing to indicate any other concerns.

Required Action

Corrective Action Plan/Timeline

10. The need to complete the CHP 315 was discussed with staff members. The commander will ensure the CHP 315 is completed for purchases as required.

# **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter: #3
Chowchilla	Central	Command
River IF		Procurements Purchases
Inspected by: Sgt. E	. Cruz, #10303	Date: 12/22/08

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).							
(2007) - 1982년 - 1982년 - 1984년 - 1985년 - 1981년 1982년 - 1982년 - 1987년 - 1982년 - 1982년 - 1984년 - 1982년							
Commander's Basis for Appeal:							
N/A							
Appeal Review/Decision: (This shall be the only level of appeal).							
N/A							
Lead Inspector's Signature:	Date:						
Responding Commander's Signature (for appeal):	Date:						
The state of the second st							

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command:	Division:	Number:				
Modesto (465)	Central (401)					
Evaluated by:	Date:					
Captain L. Dunc	12.15,08					
Assisted by: Date:						
OSS1 H. Koelm	12.15.08					

INSTRUCTIONS: Answer individual items with "Yes" or "No" answer applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Except Furthermore, the Exceptions Document shall include any follow-up as Inspection, the "Follow-up Inspection" box shall be marked and only or	l be comme ions Docun nd/or correc	inted on via the nent and add add add add add add add add add	the "Remar Iressed to t i) taken. If	ks" section. he next level this form is u	Additionally, such of command.
TYPE OF INSPECTION	Llagdinos	antaria Cianat			
	Lead insp	ector's Signat	ure:		
☐ Division Level ☐ Command Level					
☐ Executive Office Level ☐ Voluntary Self-Inspection		-l-	ــــــــــــــــــــــــــــــــــــــ		12.16.08
Follow-up Required:  Yes No Follow-up Inspection	Command	ler's Sign <u>ature</u>			Date:
For applicable policy, refer to: HPM 11.2, Chapter 7					
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:	
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:	
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:	
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>					
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□No	□ N/A	Remarks:	
<ol><li>Is all required information entered on the CHP 43, Purchase Requisition?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:	
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	⊠ Yes	□No	□ N/A	Remarks:	
Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	☐ No	⊠ N/A		lodesto has not ny expedited requests for goods.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Do specialized items purchas appropriate Division, and/or C		⊠ Yes	□No	□ N/A	Remarks:
Are the CHP 43, Purchase Recompetitively bid?	equisitions,	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Con document at least two price qu		⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Biddi that limit or restrict the purcha brand or model justified and in 3555?	se to one specific	⊠ Yes	″∏ No	□ N/A	Remarks:
<ol> <li>Are Limited Competitive Biddings for items that interface with exequipment in compliance with</li> </ol>	isting departmental	Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB contain the NCB justification a Action Plan documents?		☐ Yes	□ No	⊠ N/A	Remarks:
14. Are items checked immediatel damage when delivered?	y for content and	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the pu approved, dated, and forwards Management Section (FMS), A within three business days of r accepted?	ed to the Fiscal Account Payable Unit,	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips received copy of the purchase FMS?		⊠ Yes	□ No	□ N/A	Remarks: When applicable.
17. Is FMS provided a photocopy of and any approved freight or pa acknowledgement that a portion been received?	cking slips as	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" r command for completion and for when the complete shipment is	orwarding to the FMS	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered I acknowledged on the freight bi before being accepted?	by common carrier	☐ Yes	□No	⊠ N/A	Remarks: Modesto has not received any damaged items.

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM** INSPECTION CHECKLIST

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23,	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	⊠ No	□ N/A	Remarks:

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#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Command:	Division:	Number:		
Evaluated by:		Date:		
Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal statues, or deficiencies noted in the inspections shall discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up ar Inspection, the "Follow-up Inspection" box shall be marked and only of	be commer ons Documo Id/or correct deficient iten	nted on via thent and addrive action(s) as need to be	ne "Remark essed to th taken. If the re-inspec	s" section. A e next level nis form is u	Additionally, such of command.
TYPE OF INSPECTION		ctor's Signatu hiers, Cle		pervisor	
☐ Division Level ☐ Command Level	20011 0	,			
☐ Executive Office Level ☐ Voluntary Self-Inspection			1 104 0 0 0 1/2 1/2		
Follow-up Required:  Yes No Follow-up Inspection	T COMMINICATION O CIGNATURE.			Date: 04/22/2009	
For applicable policy, refer to: HPM 11.2, Chapter 7					
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:	
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	☐ No	□ N/A	Remarks:	
<ul> <li>3. Are prohibited items procured on CHP 43, Purchases Requisitions?</li> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	☐ Yes	⊠ No	□ N/A	Remarks:	
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	☐ No	□ N/A	Remarks:	
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:	
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks:	

### **COMMAND INSPECTION PROGRAM**

**INSPECTION CHECKLIST** 

Do specialized items purchased of appropriate Division, and/or OPI appropriate Division.		⊠ Yes	□ No	□ N/A	Remarks:
9. Are the CHP 43, Purchase Requi competitively bid?	sitions,	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Does the CHP 315, Price Compa document at least two price quota</li> </ol>		⊠ Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding person that limit or restrict the purchase to brand or model justified and in co 3555?	to one specific	⊠ Yes	□ No	□ N/A	Remarks:
<ol> <li>Are Limited Competitive Bidding properties for items that interface with existing equipment in compliance with SA</li> </ol>	ng departmental	⊠ Yes	□ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) position contain the NCB justification and Action Plan documents?		☐ Yes	□ No	⊠ N/A	Remarks:
14. Are items checked immediately for damage when delivered?	or content and	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purch approved, dated, and forwarded to Management Section (FMS), Acc within three business days of rece accepted?	o the Fiscal ount Payable Unit,	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips at received copy of the purchase ord FMS?		⊠ Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the and any approved freight or packing acknowledgement that a portion of been received?	ng slips as	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" reta command for completion and forw when the complete shipment is re	varding to the FMS	⊠ Yes	□No	□ N/A	Remarks;
19. Are <u>Damaged items</u> delivered by acknowledged on the freight bill b before being accepted?		☐ Yes	☐ No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	i k c c is	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks
100	ir	Are open purchase orders periodically reviewed and nvestigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
	0	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	d	Are decisions documented to create a paper trail documenting the basis of the decisions made for the burchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
	b D	Are purchase orders split to evade competitive idding requirements or to circumvent the Department's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Coalinga	Division: Central	Number: 495		
Evaluated by: Dave Knoff, ID 13682		Date: 12/03/2008		
Assisted by: Rob Brunell, ID 14612		Date: 12/03/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level □ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature: Follow-up Required: ☐ Follow-up Inspection ⊠ No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: command level familiar with the related policies and □ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: Training received procurement training? ☑ Yes ΠNο □ N/A September 2008 Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order 'Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from ☐ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? ⊠ Yes ☐ No □ N/A 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: Area has had several ☐ Yes consecutively, starting anew at the beginning of each ⊠ No N/A numbers which needed canceling. fiscal year (July 1)? Some were never reissued. Ones that were are out of date order. Are expedited requests for the purchase of goods Remarks: ☐ Yes □ No ⊠ N/A forwarded to the Assistant Commissioner, Staff, for approval?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□ No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	□No	⊠ N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	☐ No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	□No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	Yes	⊠ No	□ N/A	Remarks: Received copies of the Purchase orders have been sent, however not always within three days of receipt.
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	⊡ No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	☐ Yes	⊠ No	□ N/A	Remarks: Area has always held off sending the "Received" purchase order until all items were received.
(	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□ No	□ N/A	Remarks:
á	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

20	D. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□ No	⊠ N/A	Remarks:
21	. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□.N/A	Remarks:
23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROG

### COMMAND INSPECTION PROGRAM

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Division: Central	Chapter: 3 – Purchases
13682	Date: 12/03/08
	Central

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments included Commander's Signature: Forward to: Date: Follow-up Required: ☐ Yes ⊠ No Due Date: Chapter Inspection Inspector's Comments Regarding Innovative Practices: None Identified. Command Suggestions for Statewide Improvement: See the Chapter 3 – Cal-Card Exceptions Document for Command suggestions.

Inspector's Findings:

Coalinga Area's Purchasing Program files were reviewed and the following items and/or discrepancies were noted:

 Area has had several purchase requisition numbers which were used, then cancelled for various reasons. In most instances, the numbers were re-used, however, there are several instances where the numbers were never re-assigned due to the delay in communication of the need to cancel the requisition. STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Division: Chapter: 3 - Purchases
Inspected by: Date:
Dave Knoff, ID 13682 12/03/08

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Inspector's Findings (continued):

- The area has not always sent the "received copy" of the purchase order within three days of receipt of the items purchased.
- When partial orders are received, it has been the practice of the area to hold the purchase order and wait until all items are received then to send the "received copy" to FMS.

Commander	's Res	ponse:
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Concur with Inspector's findings.

#### Inspector's Comments:

 Instructions should accompany the inspection checklists to assist the inspector. Instructions should clearly identify the methodology to be used by the inspector. An inspector should know exactly what to look for; and clear examples should be provided. Alternatively, the Department could conduct training for all personnel before they are utilized as inspectors. Instructions and/or training would greatly enhance the meaning and uniformity of the Department's inspection process.

#### Required Action After the Control of the Control of

#### Corrective Action Plan/Timeline

The Area's Purchasing Coordinator, Office Services Supervisor Jennifer Courtney, will be responsible for ensuring all Purchasing transactions are conducted in accordance with state law and Department policy. She has already implemented procedures to ensure all Purchase Requisition numbers are used and all required documents are sent to FMS upon the receipt of either full or partial shipments of items. Therefore, no follow-up inspection is necessary at this time.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command:	Division:	Chapter:
Coalinga Area	Central	3 - Purchases
Inspected by:		Date:
Dave Knoff, ID	13682	12/03/08

Appeal Process (Appeals shall be filled within five (5) business days of	the completed/chapter inspection)
Commander's Basis for Appeal:	Value (special)
N/A	*
2	
Appeal Review/Decision: (This shall be the only level of appeal).	
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ead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date: